

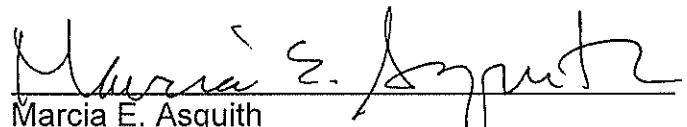
EXHIBIT A

CERTIFICATION OF A FINRA BUSINESS RECORD

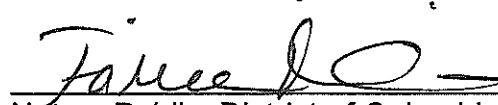
I, Marcia E. Asquith, being first duly sworn, hereby declare, depose and state as follows:

1. I am the Senior Vice President and Corporate Secretary of the Financial Industry Regulatory Authority Inc. ("FINRA") and am familiar with and am a custodian of FINRA business records, including interpretations, policies and rules adopted by the FINRA Board of Governors.
2. Attached is a true, accurate and complete copy of the document listed below that was prepared, kept and maintained in the ordinary course of FINRA's business at or near the time of the act, condition or event:
 - Central Registration Depository (CRD) Organization Registration Status for the Bernard L. Madoff Investment Securities LLC, Organization CRD No. 2625
3. This record is a business record of FINRA as defined in Rule 803 of the Federal Rules of Evidence.
4. I declare, under penalty of perjury, pursuant to 28 U.S.C. §1746, that the foregoing is true of my own knowledge.

Washington, DC
August 29, 2016


Marcia E. Asquith
Senior Vice President and Corporate Secretary

Subscribed and sworn to before me this 29th day of August, 2016.


Notary Public, District of Columbia

My commission expires: 5/31/2017



Organization Registration Status

Organization CRD Number: 2625 Organization Name: BERNARD L. MADOFF INVESTMENT SECURITIES LLC

Organization SEC Number: 8-8132 Applicant Name: BERNARD L. MADOFF INVESTMENT SECURITIES LLC

[View IA Record](#)

SEC / Jurisdiction / FINRA	Registration Status	Status Effective Date
<u>SEC</u>	Approved -	01/19/1960
<u>FINRA</u>	Liquidated -TRUSTEE APPOINTED	06/17/2009
<u>NY</u>	Terminated -FTR	12/31/2008

SEC / SRO / Jurisdiction	Registration Status	Status Effective Date
<u>SEC</u>	Approved -	01/19/1960
<u>BATS-ZX</u>	Terminated -	07/07/2009
<u>FINRA</u>	Liquidated -TRUSTEE APPOINTED	06/17/2009
<u>ARCA</u>	Terminated -ARCA-ETP	06/22/2009
<u>NOX</u>	Cancelled -FAILURE TO PAY FEES	07/07/2009
<u>NSX</u>	Cancelled -CANCELLED AT THE REQUEST OF THE SIPA TRUSTEE	01/22/2009
<u>AL</u>	Revoked -	10/15/2010
<u>AK</u>	Failed to Renew -	12/31/2008
<u>AZ</u>	Failed to Renew -	12/31/2008
<u>AR</u>	Terminated -FAILED TO RENEW	12/31/2008
<u>CA</u>	Revoked -REVOKE BY ORDER	11/30/2010
<u>CO</u>	Revoked -	06/30/2009
<u>CT</u>	Terminated -FAILED TO RENEW	12/31/2008
<u>DE</u>	Terminated -FAILED TO RENEW	12/31/2008
<u>DC</u>	Terminated -FAILED TO RENEW	12/31/2008
<u>FL</u>	Terminated -FAILED TO RENEW	12/31/2008
<u>GA</u>	Terminated -FAILED TO RENEW	12/31/2008
<u>HI</u>	Withdrawn -APP WD - FIRM'S REQUEST	11/15/2001
<u>ID</u>	Terminated -FAILED TO RENEW	12/31/2008
<u>IL</u>	Terminated -FAILED TO RENEW	12/31/2008
<u>IN</u>	Terminated -FAILED TO RENEW	12/31/2008
<u>IA</u>	Terminated -FAILED TO RENEW	12/31/2008
<u>KS</u>	Terminated -FAILED TO RENEW	12/31/2008
<u>KY</u>	Terminated -FAILED TO RENEW	12/31/2008
<u>LA</u>	Terminated -FAILED TO RENEW	12/31/2008
<u>ME</u>	Terminated -FAILED TO RENEW	12/31/2008
<u>MD</u>	Terminated -FAILED TO RENEW	12/31/2008
<u>MA</u>	Terminated -FAILED TO RENEW	12/31/2008
<u>MI</u>	Terminated -FAILED TO RENEW	12/31/2008
<u>MN</u>	Terminated -FAILED TO RENEW	12/31/2008
<u>MS</u>	Terminated -FTR	06/26/2009
<u>MO</u>	Terminated -FAILED TO RENEW	12/31/2008
<u>MT</u>	Terminated -FAILED TO RENEW	12/31/2008

<u>NE</u>	Withdrawn -PER BD'S REQUEST	10/31/2001
<u>NV</u>	Terminated -FAILED TO RENEW	12/31/2008
<u>NH</u>	Terminated -	12/31/2008
<u>NJ</u>	Terminated -FAILED TO RENEW	12/31/2008
<u>NM</u>	Terminated -FAILED TO RENEW	12/31/2008
<u>NY</u>	Terminated -FTR	12/31/2008
<u>NC</u>	Terminated -FAILED TO RENEW	12/31/2008
<u>ND</u>	Failed to Renew -	12/31/2008
<u>OH</u>	Terminated -FAILED TO RENEW	12/31/2008
<u>OK</u>	Terminated -FAILED TO RENEW	12/31/2008
<u>OR</u>	Terminated -FAILED TO RENEW	12/31/2008
<u>PA</u>	Failed to Renew -	12/31/2008
<u>PR</u>	Terminated -AT BD'S REQUEST	05/07/1999
<u>RI</u>	Terminated -FAILED TO RENEW	12/31/2008
<u>SC</u>	Terminated -FAILED TO RENEW	12/31/2008
<u>SD</u>	Terminated -FAILED TO RENEW	12/31/2008
<u>TN</u>	Terminated -	12/31/2008
<u>TX</u>	Terminated -FAILED TO RENEW	12/31/2008
<u>UT</u>	Terminated -FAILED TO RENEW	12/31/2008
<u>VT</u>	Terminated -FAILED TO RENEW	12/31/2008
<u>VA</u>	Terminated -FAILED TO RENEW	12/31/2008
<u>WA</u>	Revoked -S-08-429-08-TO01 SUMMARY ORDER SUSPENDING SECURITIES SALESPERSON AND BROKER-DEALER REGISTRATION AND NOTICE OF INTENT TO REVOKE REGISTRATION.	12/30/2008
<u>WV</u>	Terminated -FAILED TO RENEW	12/31/2008
<u>WI</u>	Terminated -FAILED TO RENEW	12/31/2008
<u>WY</u>	Revoked -FAILED TO RENEW - REVOKED BY ORDER #09-03	01/01/2009

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